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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD

Proceeding	91150278
Party	Defendant Franklin Loufrani
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Date	06/15/2009
Attachments	Loufrani Notice of Appeal.pdf (3 pages)(68858 bytes) Loufrani v. wal-Mart filed complaint.pdf (11 pages)(57181 bytes) Loufrani v. Wal-Mart filed complaint Ex. A.pdf (32 pages)(1032532 bytes) Loufrani v. Wal-mart filed complaint Ex. B.pdf (19 pages)(708715 bytes)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD**

WAL-MART STORES, INC.)	
)	
Opposer.)	OPPOSITION NO. 91/150,278
)	OPPOSITION NO. 91/154,632
v.)	
)	
FRANKLIN LOUFRANI)	Trademark:
)	SMILEY & Design Serial No. 75/302,439
Applicant.)	SMILEY & Design Serial No. 75/977,376
)	
)	
FRANKLIN LOUFRANI)	
)	
Opposer.)	OPPOSITION NO. 91/152,145
)	
v.)	
)	Trademark:
WAL-MART STORES, INC.)	Smiley Design Serial No. 76/320,901
)	
Applicant.)	
)	

To: Trademark Trial and Appeal Board
P.O. Box 1451
Alexandria, VA 22313-1451

Office of the General Counsel
United States Patent and Trademark Office
P.O. Box 15667
Arlington, VA 22215

NOTICE OF APPEAL BY CIVIL ACTION

In the matter of Application Serial No. 75/302,439 for registration of the mark SMILEY and



Design Mark SMILEY in international classes 16, 25, 28, 29, 30, 41 and 42 by Franklin Loufrani; Application Serial No. 75/977,376 for registration of the SMILEY & Design Mark



in international classes 3, 5, 8, 9, 14, 18, 21, 24, 31, 32, 33, 34, 35, 36, 38 and 39 by Franklin Loufrani; and Application Serial No. 76/320,901 for registration of the Happy Face Design



Mark in international class 35 by Wal-Mart Stores, Inc.; and in such Oppositions (Opposition No. 91150278, Opposition No. 91154632 and Opposition No. 91152145) the Trademark Trial and Appeal Board issued a final decision on March 20, 2009, Franklin Loufrani hereby notifies the Board pursuant to 37 C.F.R. § 2.145(c)(4) that Franklin Loufrani has appealed the March 20, 2009 decision by civil action pursuant to 15 U.S.C. § 1071(b), in the matter captioned *Franklin Loufrani and The Smiley Company SPRL v. Wal-Mart Stores, Inc.*, case number 09 CV 3062, filed May 20, 2009 in the United States District Court for the Northern District of Illinois. A copy of the filing is attached hereto as Exhibit A.

Respectfully submitted,

Dated: June 15, 2009

By: Steven L. Baron

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CERTIFICATE OF SERVICE

The undersigned, an attorney, hereby certifies that I caused this *Notice of Appeal by Civil Action* to be served on:

Trademark Trial and Appeal Board
P.O. Box 1451
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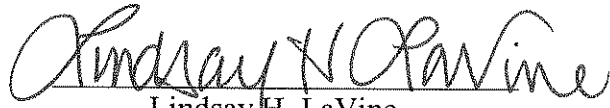
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via certified mail, return receipt requested, and

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via First Class Mail, postage prepaid and properly addressed and placed in the mail chute at 333 West Wacker Drive, Chicago, Illinois 60606 before the hour of 5:00 p.m. on June 15, 2009.


Lindsay H. LaVine

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ILLINOIS
EASTERN DIVISION**

FRANKLIN LOUFRANI, an individual, and
THE SMILEY COMPANY SPRL,
a Belgian Company,

Plaintiffs,

V.

WAL-MART STORES, INC.

Defendant.

Case No. FILED: MAY 20, 2009
09CV3062
JUDGE KENDALL
MAGISTRATE JUDGE BROWN
BR

COMPLAINT FOR *DE NOVO* REVIEW OF DECISION OF TRADEMARK TRIAL AND APPEAL BOARD

Plaintiffs, Franklin Loufrani (“Mr. Loufrani”) and The Smiley Company SPRL (“Smiley Co.”) (collectively, “Plaintiffs”), hereby complain against Wal-Mart Stores, Inc. (“Wal-Mart”) and allege as follows:

NATURE OF ACTION

1. This is an action under Section 21(b)(1) of the Lanham Act, 15 U.S.C. § 1071(b)(1), seeking judicial review of a final decision of the Trademark Trial and Appeal Board (“TTAB”), an administrative agency of the United States Patent and Trademark Office (“USPTO”).

2. On March 20, 2009, a TTAB panel sustained Wal-Mart's trademark oppositions, based on Wal-Mart's federal trademark application serial no. 76/320,901 for its design mark ("Wal-Mart Mark"), against registration of Plaintiffs' federal trademark applications for the

SMILEY and design mark (“SMILEY and Design Mark”) for various goods and services.¹ In sustaining Wal-Mart’s opposition, the TTAB found that Plaintiffs’ SMILEY and Design Mark was descriptive, not inherently distinctive. In addition, the TTAB found that a likelihood of confusion exists between Plaintiffs’ SMILEY and Design Mark and the Wal-Mart Mark. The TTAB also dismissed Plaintiffs’ opposition against registration of the Wal-Mart Mark. Notwithstanding the ubiquitous use of the happy face for decades before Wal-Mart’s claimed first use, the TTAB found that Wal-Mart had acquired distinctiveness in a little more than eighteen months.

3. The TTAB’s March 20, 2009 decision was erroneous and not supported either by the law or the evidence in this matter. Accordingly, by this action, Plaintiffs seek an order from this Court (a) finding that SMILEY and Design Mark is distinctive and that the SMILEY word element is not the legal equivalent or descriptive of the happy face design element of Plaintiffs’ SMILEY and Design Mark (the “Happy Face Design”); (b) reversing and vacating the portion of the TTAB’s March 20, 2009 order finding a likelihood of confusion between Wal-Mart’s Mark and Plaintiffs’ SMILEY and Design Mark; (c) directing the USPTO to issue a Notice of Allowance for Plaintiffs’ application serial numbers 75/302,439 and 75/977,376 for the SMILEY and Design Marks; and (d) reversing and vacating the portion of the TTAB’s decision that found

¹ The Wal-Mart Mark (including the color yellow):



, and Plaintiff’s SMILEY and Design Mark (without



SMILEY

reference to a specific color):

..

that Wal-Mart had acquired distinctiveness in the Wal-Mart Mark before Mr. Loufrani filed his applications for the SMILEY and Design Mark and granting Plaintiff's opposition.

THE PARTIES

4. Franklin Loufrani is a citizen of France. In the early 1970s Mr. Loufrani created the Happy Face Design and established the original Smiley World company to sell and license the Happy Face Design and related marks in the United Kingdom and Europe. Mr. Loufrani and Smiley Co. now own Happy Face Design and related trademark registrations in approximately 85 countries worldwide.

5. The Smiley Company SPRL is a foreign limited liability company, with its principal place of business in Brussels, Belgium. During the pendency of the subject TTAB opposition proceedings, Mr. Loufrani assigned his rights to the SMILEY and Design Marks to Smiley Co.

6. Upon information and belief, Defendant is a Delaware corporation with its principal place of business in Bentonville, Arkansas.

JURISDICTION AND VENUE

7. This is an action arising under Section 21(b)(1) of the Lanham Act, 15 U.S.C. § 1071(b)(1), seeking judicial review of a final decision of the TTAB.

8. This Court has subject matter jurisdiction in this matter pursuant to Sections 21(b)(1) and 39(a) of the Lanham Act, 15 U.S.C. §§ 1071(b)(1) and 1121(a). These sections provide that an applicant for registration of a mark may have remedy by a civil action, and a court may adjudge that the applicant is entitled to a registration upon the application involved or may order such other relief as the issues in the proceeding require. Further, U.S. district courts

shall have original jurisdiction of such actions, without regard to the amount in controversy or to diversity of citizenship of the parties.

9. Venue is proper in this district pursuant to 28 U.S.C. § 1391(b) and (c) in that Wal-Mart resides in this district by virtue of being subject to personal jurisdiction in the district based upon its conduct of business through its retail and online stores here.

PROCEDURAL BACKGROUND

10. On June 3, 1997, Mr. Loufrani filed federal trademark application serial no. 75/302439 ('439) on an intent-to-use basis under Section 1(b) to register the SMILEY and Design Mark for a variety of goods and services. That same month, Mr. Loufrani introduced a SMILEY and design mark (similar to the applied for mark) at a trade show in the United States, and the mark has appeared on clothing, stationary, mugs, bags and plush toys.

11. On March 26, 1998, Plaintiffs' application '439 was divided into two applications, application serial number 75/302439 ('439) for goods and services in international classes 16, 25, 28, 29, 30, 41 and 42 and application serial number 75/977376 ('376) for goods and services in international classes 3, 5, 8, 9, 14, 18, 21, 24, 31, 32, 33, 34, 35, 36, 38, and 39.

12. On May 22, 2001, Mr. Loufrani's application '376 was published for opposition.

13. On September 17, 2001, Wal-Mart filed an opposition to the registration of Mr. Loufrani's application '376, claiming a likelihood of confusion between Mr. Loufrani's SMILEY and Design Mark and Wal-mart's Mark. That opposition proceeding was assigned Opposition No. 91150278 ('278).

14. On October 3, 2001, Wal-Mart filed federal trademark application serial number 76/320901 ('901) for Wal-Mart's Mark in class 35 for "retail department store services."

15. On May 22, 2002, Mr. Loufrani filed an opposition to registration of Wal-Mart's application '901, claiming, among other things, that Plaintiffs had priority, and that the Wal-Mart Mark was in the public domain, could not function as a mark and was substantially similar to the Happy Face Design element of Plaintiffs' SMILEY and Design Mark. The opposition proceeding was assigned Opposition No. 91152145 ('145).

16. On December 10, 2002, Mr. Loufrani's application '439 was published for opposition.

17. On January 6, 2003, Wal-Mart filed an opposition to the registration of Mr. Loufrani's application '439, claiming that the Plaintiffs' SMILEY and Design Mark was confusingly similar to the Wal-Mart Mark; that the Happy Face Design element of Plaintiffs' SMILEY and Design Mark was a ubiquitous icon, and that to the extent the Happy Face Design was capable of serving a trademark function, any such rights belonged to Wal-Mart. The opposition proceeding was assigned Opposition No. 91154632 ('632).

18. On or about January 9, 2003 and August 1, 2003, the TTAB consolidated Opposition nos. '278, '145 and '632.

19. In connection with the consolidated opposition proceedings, the parties engaged in discovery.

20. Following the exchange of discovery and trial testimony, the parties submitted trial briefs, and oral argument was held before a three-person panel of TTAB Administrative Trademark Judges on January 14, 2009.

21. On March 20, 2009, the TTAB panel issued a decision (1) finding that Plaintiff's SMILEY and Design Mark is descriptive, and not inherently distinctive in that the word element SMILEY is descriptive of the Happy Face Design element of the mark; (2) finding a likelihood

of confusion between Plaintiffs' SMILEY and Design Mark and Wal-Mart's Mark; (3) sustaining Wal-Mart's Oppositions to registration of Plaintiffs' applications '439 and '376 for the SMILEY and Design Mark; and (4) dismissing Plaintiffs' Opposition to registration of Wal-Mart's application '901 for the Wal-Mart Mark. A copy of the March 20, 2009 order (the "Order") is attached as Ex. A.

22. Plaintiffs appeal the four holdings set forth in the Order, namely (1) the TTAB's finding that Plaintiff's SMILEY and Design Mark is descriptive, and not inherently distinctive in that the word element SMILEY is descriptive of the Happy Face Design element of the mark; (2) the TTAB's finding of a likelihood of confusion between Plaintiffs' SMILEY and Design Mark and Wal-Mart's Mark; (3) the decision sustaining Wal-Mart's Oppositions to registration of Plaintiffs' applications '439 and '376 for the SMILEY and Design Mark; and (4) the TTAB's finding that Wal-Mart acquired distinctiveness in the Wal-Mart Mark in little more than eighteen months and therefore denying Mr. Loufrani's opposition. ("Appealed Holdings.")

23. Plaintiffs are dissatisfied with the erroneous TTAB Appealed Holdings, and therefore, seek *de novo* review of the TTAB decision pursuant to Section 21 of the Lanham Act, 15 U.S.C. § 1071.

FACTUAL BACKGROUND

Loufrani Creates Happy Face Design in 1970's

24. In the early 1970s Mr. Loufrani created the Happy Face Design and established the original Smiley World company to sell and license the Happy Face Design in the United Kingdom and Europe. Mr. Loufrani and Smiley Co. now own SMILEY and Happy Face Design trademark registrations in approximately 85 countries worldwide.

25. Plaintiffs own many federal United States Trademark registrations for a number of SMILEY and SMILEY-related marks, including: Reg. Nos. 3298278, 2801529, 3577839, 3102995, 3016430, 2970055, 2701516, 2566529 and 2747618. A copy of Plaintiffs' SMILEY and SMILEY-related registered United States marks from the Trademark Electronic Search System database are attached hereto as Ex. B.

26. Through their extensive licensing of their SMILEY and related Happy Face Design Marks to manufacturers of a wide variety of goods throughout the world, Plaintiffs have developed a valuable brand. They have promoted their licensing business in the United States through, among other channels, participation in major licensing shows since at least as early as 1997.

Wal-Mart's Use of Happy Face Design

27. Upon information and belief, Wal-Mart is a national retailer selling thousands of branded goods through more than 4,100 United States retail facilities and online stores.

28. Upon information and belief, Wal-Mart operates 90 Supercenters, 57 discount stores, and 29 Sam's Club stores in the state of Illinois.

29. Upon information and belief, Wal-Mart first used the Wal-Mart Mark in connection with its retail store services on January 26, 1996.

30. Wal-Mart sells thousands of different products under national brands, including plush toys; stickers; cards; wrapping paper and gift bags; sports equipment; sportswear, namely shirts, pants, hats, dresses and shorts; undergarments; sewing patterns; perfumes; bath and body products; hair care products; toiletries; sun care products; skin creams; skin lotions; bath gels; bubble baths; color cosmetics; skin treatment products; keychains; toy sets; posters; magnets; bathtub toys; and clocks.

31. Plaintiffs have licensed their SMILEY and SMILEY-related marks in connection with many of the same goods in the United States, including, but not limited to, plush toys, stickers, cards, wrapping paper, gift bags, fabric, undergarments, hats, sewing patterns, perfumes, sports helmet and pads, key chains, toy sets, posters, magnets, bathtub toys, and clocks. In fact, upon information and belief, Plaintiffs have licensed their SMILEY and SMILEY-related marks for use on goods sold directly through Wal-Mart retail stores dating back to the late 1980's or early 1990's.

32. Plaintiffs' SMILEY and SMILEY-related marks are readily distinguishable from Wal-Mart's Mark, as evidenced by the fact that the marks have co-existed for years, on the same shelves, without any actual confusion.

33. There is no likelihood of confusion between Plaintiffs' marks and the Wal-Mart Mark.

REQUEST FOR REVERSAL OF TTAB DECISION

34. Plaintiffs allege and incorporate by reference Paragraphs 1 through 33.

35. Plaintiffs disagree with the TTAB's conclusion that Plaintiffs' SMILEY and Design Mark is descriptive of the Happy Face Design element, and Plaintiffs believe the evidence presented by both parties weighs in favor of distinctive rather than descriptive meaning.

36. Plaintiffs also disagree with the TTAB's conclusion that there is a likelihood of confusion between the Wal-Mart Mark and Plaintiffs' SMILEY and Design Mark, and Plaintiffs assert that this finding was legally erroneous and contrary to the weight of the evidence.

37. The TTAB only considered two of the thirteen salient factors in the test articulated in the seminal case *In re E.I DuPont de Nemours & Co.*, 476 F.2d 1357, 177 U.S.P.Q. 563 (C.C.P.A. 1973).

38. To date, Plaintiffs are not aware of any confusion between the parties' marks. In fact, upon information and belief, Wal-Mart sold goods in its stores bearing Plaintiffs' SMILEY and SMILEY-related marks without any objection by Wal-Mart or instances of confusion by consumers.

39. Furthermore, by virtue of its ruling, the TTAB erroneously extended Wal-Mart's rights in the Wal-Mart Mark well beyond "retail department store services," by granting Wal-Mart the right to restrict others from using the same or similar marks on goods or products sold at Wal-Mart stores in connection with those services. In effect, the TTAB has granted Wal-Mart a *de facto* monopoly on the exclusive right to use the Wal-Mart Mark, not only for retail store services but on all of the thousands of goods and services sold at its stores.

40. The Appealed Holdings from the TTAB decision of March 20 should be reversed and vacated, and an order should be entered directing the USPTO to: a) issue a Notice of Allowance for Plaintiffs' SMILEY and Design Marks, so that Plaintiffs can file Statements of Use and their marks can proceed to registration on the Principal Register; and vacate the TTAB's finding that Wal-Mart acquired distinctiveness in the Wal-Mart Mark and reverse the Board's denial of Mr. Loufrani's opposition.

CONCLUSION

41. In finding that Plaintiffs' SMILEY and Design Mark was descriptive and not inherently distinctive, the TTAB failed to consider fully and properly the evidence presented during the proceeding, or to follow the Lanham Act, the United States Code, and precedential decisions. In finding a likelihood of confusion exists between Wal-Mart's Mark and Plaintiffs' SMILEY and Design Mark, the TTAB failed to fully and properly consider the evidence

presented during the proceeding, or to follow the Lanham Act, the United States Code, and precedential decisions. In support of registration and appeal by civil action, Plaintiffs wish to present to this Court additional evidence that supports the conclusion that there is no likelihood of confusion in this case.

42. In finding that the Wal-Mart Mark had acquired distinctiveness in little more than eighteen months, the TTAB failed to consider fully and properly the evidence presented during the proceeding, or to follow the Lanham Act, the United States Code, and precedential decisions. In support of their opposition and appeal by civil action, Plaintiffs wish to present to this Court additional evidence that supports the conclusion that Wal-Mart had not acquired distinctiveness in the Wal-Mart Mark prior to the time of Mr. Loufrani's trademark applications.

PRAYER FOR RELIEF

WHEREFORE, Franklin Loufrani and The Smiley Company SPRL pray for a judgment against Wal-Mart Stores, Inc. as follows:

- A. That the Court reverse and vacate the March 20, 2009 decision of the TTAB in the matter of *Wal-Mart Stores, Inc. v. Franklin Loufrani*, Opposition Nos. 91150278, 91154632 and 91152145 referenced herein, pursuant to 15 U.S.C. § 1071(b);
- B. That the Court direct the Director of Trademarks and the United States Patent and Trademark Office to issue a Notice of Allowance for Serial Nos. 75302439 and 75977376 for the SMILEY and design marks, pursuant to 15 U.S.C. § 1071(b);
- C. That the Court reverse and vacate the March 20, 2009 decision of the TTAB in the matter of *Franklin Loufrani v. Wal-Mart Stores, Inc.*, Opposition No. 91152145 and sustain the opposition; and

D. That the Court provide such other relief as it finds appropriate.

Respectfully submitted,

Dated: May 20, 2009

By: /s/ Steven L. Baron
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JUDGE KENDALL

MAGISTRATE JUDGE BROWN

BR

EXHIBIT A

THIS OPINION IS NOT A
PRECEDENT OF THE TTAB

Hearing:
14 January 2009

Mailed:
20 March 2009

UNITED STATES PATENT AND TRADEMARK OFFICE

Trademark Trial and Appeal Board

Wal-Mart Stores, Inc.
v.
Franklin Loufrani¹.

Opposition Nos. 91150278 and 91154632

Franklin Loufrani
v.
Wal-Mart Stores, Inc.

Opposition No. 91152145

Gary J. Rinkerman of Baker & Hostetler LLP for Wal-Mart
Stores, Inc.

Steven L. Baron of Mandell Menkes LLC for Franklin Loufrani.

Before Drost, Mermelstein, and Bergsman, Administrative
Trademark Judges.

Opinion by Drost, Administrative Trademark Judge:

¹ We note that on December 18, 2008, the Office recorded an assignment, inter alia, of the Loufrani intent-to-use applications (Nos. 75302439 and 75977376) from Franklin Loufrani to The Smiley Company SPRL, a Belgian company. See Reel/Frame No. 3905/0869. The assignment was dated June 22, 2008. Whether this assignment complied with the requirements of 15 U.S.C. § 1060(a) was not developed, and it is not before us.

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

On June 3, 1997, Franklin Loufrani (Loufrani or applicant²) filed an application to register the mark shown below in numerous international classes:



On March 26, 1998, applicant requested to divide the application. As a result, Serial No. 75302439 (the original application) contains goods and services in classes 16, 25, 28, 29, 30, 41, and 42. Serial No. 75977376 contains goods and services in Classes 3, 5, 8, 9, 14, 18, 21, 24, 31, 32, 33, 34, 35, 36, 38, and 39. Both applications are based on applicant's allegation of a bona fide intent to use the marks in commerce.³ The two applications contain hundreds of goods and services. A sample follows: cosmetics for animals, emery boards, feminine hygiene cleansing towelettes, solutions for contact lenses, hunting arms and swords, sugar tongs, electric devices for attracting and

² We will refer to Mr. Loufrani as applicant even though he is the opposer in the 91152145 opposition.

³ With its brief in the oppositions in which it is a plaintiff, Wal-Mart raised an unpleaded ground that the applications were void ab initio because Loufrani lacks a bona fide intent to use the mark in commerce. On June 21, 2007, the board held that it would not consider Wal-Mart's belated attempt to raise the issue of applicant's lack of bona fide intent to use the mark in commerce.

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

killing insects, meteorological balloons, diving suits, electric egg timers, cuff links, urns of precious metal, newspapers, chalkboards for school and home use, cat coats, tea balls not made of precious metals, gloves for gardening, cloth flags, mosquito nets, edible chews for animals, syrups for making soft drinks, cherry brandy, outdoor advertising by means of electronic billboard advertising, art appraisals, communication by telegram, and transportation by ferry, boat, rail, land, and air.

In both applications, applicant disclaims the "right to use the representation of a smiling face⁴ apart from the mark as shown." The applications were published on different dates, No. 75977376 on May 22, 2001, and No. 75302439 on December 10, 2002.

On September 17, 2001, Wal-Mart Stores, Inc. (Wal-Mart or opposer⁵), filed an opposition to the registration of applicant's 75977376 application for the mark SMILEY and design. In its notice of opposition (No. 91150278, p. 2), opposer alleges that:

Applicant's proposed mark is incapable of distinguishing the goods of the Applicant from the goods of others and, therefore, cannot function as a trademark and an indicator of source. The "smiley face" design is a ubiquitous icon, tracing its origin back to the early 1960's in the United States. At the

⁴ Applicant often refers to the design as a "happy face," while opposer prefers "smiley design." We will refer to it as a "smiling face" design.

⁵ We will refer to Wal-Mart as opposer even though it is also the applicant in the 91152145 opposition.

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

very least, Applicant should be required to demonstrate that Applicant's mark has become distinctive...

Opposer further maintains that to the extent that the "smiley face" design is capable of functioning as a trademark, the rights to the same belong to opposer. Opposer first began use of the design it refers to as "Mr. Smiley" at least as early as January 26, 1996, and has continuously used the design in commerce and in interstate commerce since that date...

If the Board were to determine that Applicant's proposed mark is capable of functioning as a trademark and/or has become distinctive, then Opposer submits that there would be a likelihood of confusion between Opposer's mark and Applicant's mark.

In his answer (p. 2), applicant generally denied the salient allegations of the notice of opposition although he did admit "that the 'happy face' design is, in the United States, a non-distinctive designation and, in fact, the 'happy face' design element in Applicant's application has been disclaimed apart from the mark as a whole."

Shortly after Wal-Mart filed the 91150278 opposition, it also filed a trademark application (Serial No. 76320901) on October 3, 2001, to register the mark shown below on the Principal Register for "retail department store services" in Class 35:



Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

The mark is described as "a yellow circle with two eyes and a smiling shaped mouth. Color is integral to the mark."

After the mark was published for opposition, Loufrani filed a notice of opposition on May 22, 2002. In its notice (p. 3), Loufrani alleges that Wal-Mart's design "does not serve any trademark function." Loufrani also alleged that it "offers or may offer many of the same products and services listed" in Wal-Mart's application and that, if Wal-Mart's mark is allowed to register, Wal-Mart "will be able to rely on its registered rights in challenging or contesting opposer's use or registration of a Happy Face Design." *Id.*

On January 6, 2003, Wal-Mart filed a notice of opposition (No. 91154632) to the registration of Loufrani's 75302439 application for his other SMILEY and design mark. This notice and Loufrani's answer was similar to the papers in the 91150278 opposition.

On January 9, 2003, and August 1, 2003, the board ordered that Opposition Nos. 91150278, 91154632, and 91152145 be consolidated.

The Record

The record consists of the following items: the file of the involved applications; the testimony deposition of opposer's senior media director, Troy David Steiner, with accompanying exhibits; the testimony deposition of Gary F.

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

(Rusty) Scholtes, an officer of opposer's outside advertising agency, with accompanying exhibits; the testimony and rebuttal depositions of Michael Rappeport, opposer's trademark survey expert, with accompanying exhibits; the testimony deposition of Megha Desai, a summer intern of counsel for applicant's firm, with accompanying exhibits; and applicant's and opposer's notices of reliance.

Issues

We set out below the issues that remain in this proceeding.

1. Loufrani's mark is not registrable because it lacks distinctiveness.

Wal-Mart argues as plaintiff (91150278 Brief at 3)

that:

Applicant's Smiley Applications should be refused registration on the ground that they lack distinctiveness because:

1. Applicant disclaimed the smiley symbol in Applicant's Smiley Applications;
2. The word "smiley," especially as juxtaposed with the smiley symbol, is the legal equivalent of the smiley symbol; and
3. A trademark comprised of the smiley symbol (which has been disclaimed as a ubiquitous icon in common use) combined with the word "smiley" does not make Applicant's Smiley Applications inherently distinctive in their entirety.

2. Loufrani's mark is likely to cause confusion with opposer's mark.

Opposer also argues that there is a likelihood of confusion between its mark and applicant's mark because the

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

marks are virtually identical and the goods and services are related.

3. Wal-Mart's mark is not registrable because it is a "ubiquitous icon."

Loufrani argues as plaintiff (91152145 Brief at 3) that Wal-Mart's design "is a unique example of a ubiquitous icon which should not be usurped for private trademark use because: (1) Not all symbols and advertising slogans function as marks; and (2) The evidence shows that Wal-Mart's Happy Face Design is an unregistrable ubiquitous icon."⁶ While at first blush, it may appear that Loufrani is taking an inconsistent position with respect to the distinctiveness of the smiling face design, we note that Loufrani has disclaimed the exclusive right to use the smiling face design and asserts that its mark is registrable because of his addition of the word "Smiley."

Standing

Before we can begin our discussion on the merits, it is necessary to address some preliminary matters. We start by noting that an opposer must have standing to bring an opposition proceeding. An opposer must have "a 'real

⁶ Loufrani argues that letters of protest and the examining attorney's Office action are the law of the case. This is not correct. See *In re Urbano*, 51 USPQ2d 1776, 1778 n.5 (TTAB 1999) (Letters of protest) and *McDonald's Corp. v. McClain*, 37 USPQ2d 1274, 1277 (TTAB 1995) ("Applicant's argument that the Board is somehow required to adopt the Examining Attorney's conclusion that applicant is entitled to registration is also not well taken").

Opposition Nos. 91150278 and 91154632
 Opposition No. 91152145

interest' in the outcome of a proceeding in order to have standing." *Ritchie v. Simpson*, 170 F.3d 1092, 50 USPQ2d 1023, 1025 (Fed. Cir. 1999). "To establish a reasonable basis for a belief that one is damaged by the registration sought to be cancelled, a petition may assert a likelihood of confusion which is not wholly without merit." *Lipton Industries v. Ralston Purina Co.*, 670 F.2d 1024, 213 USPQ 185, 189 (CCPA 1982).⁷ The evidence shows that both Wal-Mart and Loufrani have a real interest in these proceedings.

Priority

Inasmuch as Wal-Mart claims that there is a likelihood of confusion, we address the question of priority. Wal-Mart, "as plaintiff in the opposition proceeding, bears the burden of proving, by a preponderance of the evidence, its asserted grounds of ... priority and likelihood of confusion ..." *Genesco Inc. v. Martz*, 66 USPQ2d 1260, 1267 (TTAB 2003). Because it did not plead ownership of a trademark registration, Wal-Mart must show use of the mark prior to Loufrani's priority date.

Loufrani's application was filed on June 3, 1997. He can rely on this date as his constructive use date. *Zirco Corp. v. American Telephone and Telegraph Co.*, 21 USPQ2d

⁷ Because of the linguistic and functional similarities of the opposition and cancellation provisions of the Lanham Act, "we construe the requirements of those two sections of the Lanham Act consistently." *Ritchie*, 50 USPQ2d at 1025 n. 2.

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1542, 1544 (TTAB 1992) ("If an intent-to-use applicant were not allowed to rely upon the constructive use date prior to actual use and registration of its mark, it would be rendered defenseless in any opposition against the registration of its mark based on likelihood of confusion. Constructive use would only function as a sword in affirmative actions by an intent-to-use applicant and only after the registration of its mark, never as a shield in actions against that applicant prior to the registration of its mark"). See also *Larami Corp. v. Talk To Me Programs Inc.*, 36 USPQ2d 1840, 1846 (TTAB 1995) ("Thus, a mark may be registered -- and receive the benefits of constructive use under Section 7(c) -- even if the claim of acquired distinctiveness was made after the filing date of the application and even if the use on which the claim of distinctiveness was predicated was made mostly after the filing date of the application"). Inasmuch as he has not submitted any evidence of an earlier date of use, Loufrani's priority date is June 3, 1997.⁸

In order to meet the first of its burdens of proof, Wal-Mart must be able to show that it has used its mark prior to Loufrani's June 3, 1997, priority date. In

⁸ To the extent that an applicant's mark is a merely descriptive mark without acquired distinctiveness, priority would not be an issue because its mark would not be entitled to registration on the Principal Register.

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addition, Wal-Mart must show that its common law trademark is distinctive, inherently or otherwise, as well as priority of use. See *Otto Roth & Co. v. Universal Foods Corp.*, 640 F.2d 1317, 209 USPQ 40, 44 (CCPA 1981) ("[I]t is equally clear that if an opposer's alleged means of trade designation is not distinctive -- does not identify source - - then there is no basis upon which to compare such a thing with the applicant's mark to determine whether confusion as to source is likely").

Under the rule of *Otto Roth*, a party opposing registration of a trademark due to a likelihood of confusion with his own unregistered term cannot prevail unless he shows that his term is distinctive of his goods, whether inherently or through the acquisition of secondary meaning or through "whatever other type of use may have developed a trade identity." *Otto Roth & Co. v. Universal Foods Corp.*, 640 F.2d at 1320, 209 USPQ at 43. The *Otto Roth* rule is applicable to trademark registration cancellation proceedings as well.

Towers v. Advent Software Inc., 913 F.2d 942, 16 USPQ2d 1039, 1041 (Fed. Cir. 1990).

Wal-Mart's mark consists of a yellow smiling face.

Wal-Mart notes (91150278 Brief at 24 n.13) that:

[It] was not asked to submit evidence of acquired distinctiveness during the prosecution of its application Serial No. 76/320,901 for Opposer's Smiley Mark for retail department store services [before the application] was accepted for publication by the Examining Attorney without the need of demonstrating acquired distinctiveness under Section 2(f) of the Lanham Act, nor did Opposer seek registration pursuant to Section 2(f) when its application was filed.

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Wal-Mart must establish its priority date for its mark in the 91150278 and 91154632 oppositions and, in the event that we find that its common law mark is not inherently distinctive, it must show that its mark has acquired distinctiveness. A finding that Wal-Mart's mark has acquired distinctiveness in the 91150278 and 91154632 oppositions will have an impact on the priority issue in the 91152145 opposition. In that opposition, Loufrani is opposing the registration of Wal-Mart's application for the same "smiling face" design that Wal-Mart is relying on in the other oppositions. The application for that design was published as an inherently distinctive mark without resorting to Section 2(f) acquired distinctiveness. However, an applicant can rely on a claim of acquired distinctiveness to defeat an opposer's claim that an applicant's mark is merely descriptive even if the application was published without resort to Section 2(f). See *Coca-Cola Co. v. Seven-Up Co.*, 497 F.2d 1351, 182 USPQ 207, 209 (CCPA 1974) ("The first ground of attack, without citation of authority, is based on appellee's not having filed its application under Section 2(f) of the Act. The attack must fail. Because the examiner had never raised a question of descriptiveness and appellee never considered its mark to be descriptive, there was no reason to have filed under Section 2(f) or to have amended the application

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to bring it under that section"); *Perma Ceram Enterprises Inc. v. Preco Industries Ltd.*, 23 USPQ2d 1134, 1139 n.13 (TTAB 1992) ("Although the application did not include a Section 2(f) claim, the defense of acquired distinctiveness clearly could have been raised"); and *Colonial Arms Corp. v. Trulock Firearms Inc.*, 5 USPQ2d 1678, 1680 (TTAB 1987) ("Moreover, we disagree with opposer's statement that because the application was not made pursuant to the provisions of Section 2(f), the question of whether the term has acquired distinctiveness is not in issue. This factual question is relevant to our determination of the descriptiveness of the mark, and applicant should not be deprived of an opportunity to show such distinctiveness in response to opposer's charge of descriptiveness simply because its application was not published under Section 2(f)").

We agree with Loufrani, and indeed with Wal-Mart,⁹ that the "smiling face" design is a ubiquitous, non-inherently distinctive design. The evidence shows that the "smiling face" is a common, non-inherently distinctive design. In addition to Wal-Mart's own statement, there is evidence of

⁹ See Wal-Mart's 91150278 Notice of opposition at 2. The "smiley face" design "is a ubiquitous icon, tracing its origin back to the early 1960's in the United States. At the very least, Applicant should be required to demonstrate that Applicant's mark has become distinctive." See also Wal-Mart's 91154632 Notice of opposition at 2 (same).

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the widespread, ornamental use of the smiling face design that would lead consumers to believe that it is not serving a trademark function. See Desai Dep. Exhibits (Smiling face design shown on a variety of items emanating from different entities including stress balls, puzzles, shot glasses, movie advertisements, software, cigarette lighters, magazines, ties, stickers, flower pots, lollipops, T-shirts, etc.). See also *Charlotte Observer*, February 27, 1989:

When the "smile" face became a fad in 1970, it was a lighthearted punctuation mark at the end of a tumultuous decade. Now, after nearly 20 years in eclipse, the happy face is back, its 100-watt smile lighting up T-shirts, canvas tote bags, spandex cycling shorts and other merchandise in newly opened shops at Macy's and Bloomingdale's stores in New York and Chicago.

In Charlotte, Smiley popped up two years ago at the Perris store, where pendants with his mug were sold. Last year, the store carried T-shirts plastered with Smiley... This year, Smiley goes beyond boutiques and specialty shops.

San Francisco Chronicle, April 4, 1989 ("Then he went for 200 buttons and further into the smiley underworld of night lights and yo-yos, golf balls, key rings, pencil sharpeners, lunch bags, lamp shades and full breakfast sets. He had the market cornered and moved his bed into the dressing room to establish his bedroom as a smiley shrine"). Such common ornamentation is not normally inherently distinctive. See TMEP § 1202.03(a) (5th ed. September 2007) ("The significance of the proposed mark is a factor to consider when determining whether ornamental matter serves a

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trademark function. Common expressions and symbols (e.g., the peace symbol, 'smiley face,' or the phrase 'Have a Nice Day') are normally not perceived as marks"); *In re Wakefern Food Corp.*, 222 USPQ 76, 78 (TTAB 1984) ("We fully agree with the Examining Attorney that this relatively common merchandising slogan [WHY PAY MORE!] does not act or function as a mark which identifies and distinguishes applicant's services from those of others"); and *In re Tilcon Warren, Inc.*, 221 USPQ 86 (TTAB 1984) (WATCH THAT CHILD displayed on the front bumper of trucks does not function as a trademark for construction material).

Inasmuch as Wal-Mart's smiling face design is not inherently distinctive, we must determine if it acquired distinctiveness prior to Loufrani's priority date of June 3, 1997. Wal-Mart alleges that it began using its mark at least as early as January 26, 1996. Therefore, the question is whether Wal-Mart's mark acquired distinctiveness in a little more than eighteen months. Considering that we have already determined that the smiling face is a common feature of modern American culture, this will not be something that is easily achieved. However, Wal-Mart has submitted a significant amount of evidence to support its argument that its mark has acquired distinctiveness. Unfortunately, most of the evidence has been marked confidential, which limits the reference we can make to the evidence. However, the

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evidence shows that in 1996, Wal-Mart began an extensive advertising campaign. Below is an excerpt from Wal-Mart's use of the smiling face design in a circular from February of 1996. Steiner dep., Ex. 15.



At the bottom of the same page, there is another use of the design:



Similar designs appear throughout the circular. These circulars are "very representative" of the "circulars that have been used since the inception of the smiley used by Wal-Mart." Steiner dep. at 10.

While the amount of money that Wal-Mart has spent on advertising is confidential, we can summarize it as truly impressive even in the relatively short period before applicant's priority date. See Steiner dep. at 11. In addition to circulars, Wal-Mart has used the mark "inside Wal-Mart for signing, for our in-store television network ...

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along with buttons and balloons [and] ... vests that carry the smiley face that the associates [employees] wear." Steiner at 15. Again, Wal-Mart's spending on these additional uses of the smiling face design has been very significant even in the period between its first use and applicant's priority date. In 1996, Wal-Mart's advertising, which included its smiling face design, involved primetime network and cable television advertising. Scholtes dep. at 49. Again, the cost of this television advertising was substantial. Scholtes dep. at 46 and Ex. 8 (1996 television commercial).

We conclude that because of the very extensive use and advertisement of the smiling face design for Wal-Mart's retail department store services, opposer's mark acquired secondary meaning for retail department store services prior to applicant's priority date. We reach this conclusion despite the fact that the smiling face is a nearly ubiquitous symbol and that Wal-Mart had to acquire secondary meaning in a relatively short period of time. We note, however, that there is little evidence of any substantial use by other retail department stores of a similar smiling face design.

Distinctiveness of Loufrani's Marks

Wal-Mart has argued that Loufrani's mark cannot be registered without a showing of acquired distinctiveness. Wal-Mart has challenged the distinctiveness of Loufrani's

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mark in its two applications. Loufrani responds by arguing that his marks "comprise both the 'Smiley' word element and the Disclaimed Design. Loufrani's multiple United States trademark registrations for the 'Smiley' word create a presumption that the 'SMILEY' word is inherently distinctive. Combining the inherently distinctive 'Smiley' mark with the Disclaimed Design does not render the composite Mark unprotectable." 91150278 Brief at 12. However, the "basic flaw in [applicant's] analysis is that each application for registration of a mark for particular goods must be separately evaluated." *In re Loew's Theatres, Inc.*, 769 F.2d 764, 226 USPQ 865, 869 (Fed. Cir. 1985).

Wal-Mart argues that the "public uses the term 'smiley face' as the actual name for the Disclaimed Design; and Loufrani's use of the term 'SMILEY' merely connects the term 'smiley face' to the Disclaimed Design in the minds of consumers." 91150278 Brief at 2 (numbering omitted). According to Wal-Mart, the term "SMILEY" is the legal equivalent of the smiling face design. Opposer points to Loufrani's own evidence that he submitted to show that the smiling face design was ubiquitous and that the design is frequently referred to as "Smiley" or "Smiley Face." See Desai dep. Ex. 1 (emphasis added):

DESAI009 - World's #1 Shop for **Smiley** Face Collectibles

DESAI021 - **Smiley** Dude Stress Toy

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DESAI038 - **Smiley** Face Amenity Signs

DESAI043 - **Smiley** Face

DESAI053 - hand-decorated **smiley** face cut-out butter cookies

DESAI067 - Mini **Smiley** Faces

DESAI068 - A **Smiley** Face

We take judicial notice¹⁰ of the following definition of "Smiley" - "a circular, smiling yellow face. (The face appears on labels, pin-on buttons, hand-drawn, etc. It is possible to re-create the smiley face on any keyboard through the use of punctuation symbols." Spears, *Slang American Style* (1996).

Furthermore, Loufrani's witness included a series of pages that show various "smiley faces" including "The Annoyed smiley face," "The Astonished smiley face," "Smiley in Awe," "The Bored smiley face - Bored and discontented, a glum and sullen smiley, maybe grumpy smiley would have been a more appropriate title." DESAI074-077. See also DESAI072 ("The U.S. Postal Service unveiled the first smiley face postage stamp"); *Chicago Tribune*, July 5, 2005 (DESAI070) ("[T]here are an estimated 50 million smiley face buttons in the United States").

¹⁰ *University of Notre Dame du Lac v. J.C. Gourmet Food Imports Co.*, 213 USPQ 594, 596 (TTAB 1982), *aff'd*, 703 F.2d 1372, 217 USPQ 505 (Fed. Cir. 1983).

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Indeed, the term is sometimes used to refer to Wal-Mart. See *Kansas City Star*, October 6, 2003 ("The tribute in Ad Age was very apropos for Magee's work at the agency, featuring Smiley, the well-known icon used in much of Wal-Mart's advertising"); *Arkansas Democrat-Gazette*, May 31, 1998 ("Suddenly the calm is broken as Mr. Smiley, the yellow happy-face character who stars in Wal-Mart commercials, starts whistling..."); *Providence Journal-Bulletin*, May 17, 1999 ("When Bradley asked for a smiley button, Boldt was ready with four. Do you want a regular smiley, a Wal-Mart one, one riding a school bus or an angel one?") (stray characters omitted).

Here, Loufrani has applied to register a design that is variously referred to as a "happy face" or a "smiling face" or a "smiley." Loufrani has disclaimed this ubiquitous symbol. The only other feature of the mark is the term "smiley." In the typical case, it is the words that are descriptive and the addition of a fanciful design creates a mark that is registrable on the Principal Register. *In re Miller International Co.*, 312 F.2d 819, 136 USPQ 445 (CCPA 1963) (Fanciful design and words "Stereo-Fidelity" held registrable on the Principal Register composite mark for phonograph records); and *In re Clutter Control, Inc.*, 231 USPQ 588 (TTAB 1986) (Descriptive words CONSTRUCT-A-CLOSET

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registrable on the Principal Register because of its distinctive display).

In this case, it is clear that the design in Loufrani's mark is not distinctive and the question is whether the word "Smiley," which is the name of the design is also non-distinctive. A mark consisting of a non-distinctive word and a design related to the word may be, in its entirety, unregistrable on the Principal Register. *In re Certified Burglar Alarm Systems*, 191 USPQ 47, 49 (TTAB 1976) ("In the case at bar, the seal represents a guarantee, as does the word "CERTIFIED" and ... adds nothing to the registrability of the composite mark." CERTIFIED and the design of a seal not registrable). See also *In re Scovill Mfg. Co.*, 143 USPQ 161, 162 (TTAB 1964):

Applicant has disclaimed the literal portion of the composite apart from the rest of the mark as shown. As proven by applicant, a ribboned seal is inherently weak and lacking in distinctiveness. Moreover a seal is something that confirms, ratifies or makes secure, such as a guarantee or assurance. (See Webster's Third New International Dictionary, 1961). The design here complements the literal portion and does not create an impression separate and apart therefrom. This design adds nothing to the registrability of the composite.

Accord Thistle Class Ass'n v. Douglass & McLeod, Inc., 198 USPQ 504, 512 (TTAB 1978) ("The only question in dispute is whether 'THISTLE' and the 'THISTLE' emblem are merely descriptive of, or the common descriptive name of, a class of sailboats. This must be answered in the affirmative"). We must consider the mark in its entirety. The question of

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whether SMILEY may, on its own, be inherently distinctive, is not at issue. Loufrani's mark consists of the smiling face design, which he has disclaimed and admits to being a ubiquitous, non-inherently distinctive symbol, with a common name of that symbol, SMILEY. Normally, we would be hesitant to conclude that the word "Smiley" is not inherently distinctive in an intent-to-use application. However, applicant's mark has shown us how the word will appear if he uses the mark, i.e., in small print under a picture of a smiling face.



Loufrani's admission that the design is ubiquitous and his disclaimer of the design applies to all the classes in his applications. Therefore, we are not left to speculate about whether the smiling face design is distinctive for any of the classes of goods or services. Loufrani admits it is not. Therefore, when consumers encounter applicant's mark, they will view the entire mark as ornamental inasmuch as it consists of a ubiquitous, non-distinctive symbol and the commonly used name of the symbol. This conclusion appears inescapable. Therefore, because Loufrani has not shown that his marks have acquired distinctiveness, we sustain the

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oppositions to their registration on the ground that they are not distinctive.

Likelihood of Confusion

For the sake of completeness, we now move on to the question of likelihood of confusion. When there is an issue under Section 2(d), we analyze the facts as they relate to the relevant factors set out in *In re E. I. du Pont de Nemours & Co.*, 476 F.2d 1357, 177 USPQ 563, 567 (CCPA 1973). See also *In re Majestic Distilling Co.*, 315 F.3d 1311, 65 USPQ2d 1201, 1203 (Fed. Cir. 2003) and *Recot, Inc. v. Becton*, 214 F.3d 1322, 54 USPQ2d 1894, 1896 (Fed. Cir. 2000).

The first factor we will consider is the relatedness of the goods and services. As indicated above, applicant has applied to register its mark for hundreds of goods and services. Some of the goods and services in Loufrani's applications include: facial soaps and shampoos (Class 3); antiseptics, medicated mouthwashes and vitamin supplements (Class 5); scissors and hand tools (Class 8); video cassette recorders, microprocessors, computer monitors, radios and television sets (Class 9); jewelry, necklaces, and watches (Class 14); photo albums, glue for stationery or household purposes, and daily planners (Class 16), umbrellas and pocket wallets (Class 18); combs and non-electric toothbrushes (Class 21); bath linen and bed linen (Class

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24); T-shirts, shorts, and trousers (Class 25); footballs, dolls, and jigsaw puzzles (Class 28); soups, jellies, and jams (Class 29); corn chips and chewing gum (Class 30), decorative dried plants and animal litter (Class 31); fruit juices and soft drinks (Class 32); wines (Class 33); tobacco, matches, and cigarette lighters (Class 34); rental of advertising space (Class 35); charitable fund raising (Class 36); cellular telephone services (Class 38); arranging travel tours as a bonus program for credit card customers (Class 39); rental of books, radios, videotapes, videotape recorders and video cassette recorders (Class 41); and beauty salons and rental of chairs, tables, and table linen (Class 42). In this case, applicant's goods and services include many goods and services that would be the types of goods and services available in opposer's retail department stores. We must consider the goods and services as they are described in the application. *Octocom Systems, Inc. v. Houston Computers Services Inc.*, 918 F.2d 937, 16 USPQ2d 1783, 1787 (Fed. Cir. 1990) ("The authority is legion that the question of registrability of an applicant's mark must be decided on the basis of the identification of goods set forth in the application regardless of what the record may reveal as to the particular nature of an applicant's goods, the particular channels of trade or the class of purchasers to which the sales of goods are directed"). See

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also Paula Payne Products v. Johnson Publishing Co., 473
F.2d 901, 177 USPQ 76, 77 (CCPA 1973).

Wal-Mart has included evidence to show the types of goods and services it sells in its stores. See Steiner Dep. Ex. 15. These items include hair care products, medicine, soap, cleaning supplies, clothing, cereal, popcorn, cookies, mouthwash, corn chips, car care products, pens, notebooks, videotapes, diapers, gas grills, dolls, puzzles, watches, wallets, cat food, scissors, day planners, crayons, glue, calculators, printer paper, key cutting services, microwave ovens, candy, televisions, toys, fruit drinks, soda, toothbrushes, fabric softener, trash bags, computers, music CDs, rugs, pillows, towels, books, lamps, and mirrors. Loufrani has also submitted Wal-Mart's response to his interrogatory that set out the goods and services in Loufrani's application and lined through the items that "were not offered" by Wal-Mart. Loufrani's Notice of Reliance on Wal-Mart's supplemental response to Loufrani's Interrogatory No. 3. Based on the evidence of record, we find that there is a relationship between Wal-Mart's department store services and the goods in Classes 3, 5, 8, 9, 14, 16, 18, 21, 24, 25, 28, 29, 30, 31, 32, 33, and 34. As discussed above, Wal-Mart sells these types of items in its stores and they are also the type of goods that would be

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found in department stores.¹¹ In *re Hyper Shoppes*, 837 F.2d 463, 6 USPQ2d 1025, 1025 (Fed. Cir. 1988), the Federal Circuit noted the relationship between goods and retail stores that sell those goods.

The only aspect of this case which is unusual is that the marks sought to be registered are for services while the prior registration on which their registration is refused is for wares. Considering the facts (a) that trademarks for goods find their principal use in connection with selling the goods and (b) that the applicant's services are general merchandising -- that is to say selling -- services, we find this aspect of the case to be of little or no legal significance. The respective marks will have their only impact on the purchasing public in the same marketplace.

See also *In re United Service Distributors, Inc.*, 229 USPQ 237 (TTAB 1986) {design for distributorship services in the field of health and beauty aids held likely to be confused with design for skin cream}; *In re Phillips-Van Heusen Corp.*, 228 USPQ 949 (TTAB 1986) (21 CLUB for various items of clothing held likely to be confused with THE "21" CLUB in stylized form for restaurant services); and *Steelcase Inc.*

¹¹ We note that confusion is likely if any of the goods or services in the class are related. *Tuxedo Monopoly, Inc. v. General Mills Fun Group*, 648 F.2d 1335, 209 USPQ 986, 988 (CCPA 1981) ("[L]ikelihood of confusion must be found if the public, being familiar with appellee's use of MONOPOLY for board games and seeing the mark on any item that comes within the description of goods set forth by appellant in its application, is likely to believe that appellee has expanded its use of the mark, directly or under a license, for such item"). See also *Shunk Mfg. Co. v. Tarrant Mfg. Co.*, 318 F.2d 328, 137 USPQ 881, 883 (CCPA 1963) (The "board properly held that where there is likelihood of confusion as to any of the goods listed in the application, it is not necessary to rule on other goods listed therein").

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v. Steelcare Inc., 219 USPQ 433 (TTAB 1983) (STEELCARE INC. and design for refinishing of furniture, office furniture, and machinery held likely to be confused with STEELCASE for office furniture and accessories). However, we are reluctant to draw a conclusion that department store services are related to such services as opinion polling for business or advertising purposes and accounting services (Class 35); mutual investment fund services (Class 36); television broadcasting (Class 38); transportation services by ferry, boat, land, air and packaging for transportation (Class 39); conducting classes, seminars and workshops in the field of foreign language (Class 41); and marriage bureaus (Class 42) based on the limited evidence of record on these services. Therefore, we find that opposer's department store services are not related to applicant's services in Classes 35, 36, 38, 39, 41, and 42.

Next, we look at the "DuPont factor [that] requires examination of the similarity or dissimilarity of the marks in their entirety as to appearance, sound, connotation and commercial impression." *Palm Bay Imports Inc. v. Veuve Clicquot Ponsardin Maison Fondée En 1772*, 396 F.3d 1369, 73 USPQ2d 1689, 1691 (Fed. Cir. 2005) (internal quotation marks omitted). Here, the marks are visually very similar.

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The small differences between the marks are unlikely to be noteworthy.

The test is not whether the marks can be distinguished when subjected to a side-by-side comparison, but rather whether the marks are sufficiently similar in terms of their overall commercial impression that confusion as to the source of the goods or services offered under the respective marks is likely to result. The focus is on the recollection of the average purchaser, who normally retains a general rather than a specific impression of trademarks.

Baseball America Inc. v. Powerplay Sports Ltd., 71 USPQ2d 1844, 1848 (TTAB 2004). See also *Grandpa Pidgeon's of Missouri, Inc. v. Borgsmiller*, 477 F.2d 586, 177 USPQ 573, 574 (CCPA 1973); *Johann Maria Farina Gegenuber Dem Julichs-Platz v. Chesebrough-Pond, Inc.*, 470 F.2d 1385, 176 USPQ 199, 200 (CCPA 1972). The designs themselves are almost the same inasmuch as they consist of a circle with a simple design of a face with two extended ovals for eyes and virtually identical smiling mouths.¹²

Applicant argues that the "Wal-Mart's likelihood of confusion argument is moot because the disclaimed design cannot function as a mark. A likelihood of confusion is

¹² While Wal-Mart mark includes the color yellow, Loufrani's mark is not limited to any specific color.

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irrelevant where the underlying mark is unregistrable because it cannot function as a mark." Brief at 18.

"When comparing the similarity of marks, a disclaimed term, here 'COMMUNICATIONS,' may be given little weight, but it may not be ignored." *M2 Software Inc. v. M2 Communications Inc.*, 450 F.3d 1378, 78 USPQ2d 1944, 1948-49 (Fed. Cir. 2006). While applicant has disclaimed the design in its marks, this disclaimer does not remove it from consideration in our likelihood of confusion analysis. *In re Shell Oil Co.*, 26 USPQ2d 1687, 26 USPQ2d 1687, 1688-89 (Fed. Cir. 1993) ("Shell argues that the words are common dictionary words, and that since Shell filed a disclaimer of the words 'Right-A-Way', the only issue of registration relates to the script and the arrow design. The Board correctly held that the filing of a disclaimer with the Patent and Trademark Office does not remove the disclaimed matter from the purview of determination of likelihood of confusion"). See also *In re National Data Corp.*, 753 F.2d 1056, 224 USPQ 749, 751 (Fed. Cir. 1985). Therefore, while applicant has disclaimed the design, it is still a consideration in our likelihood of confusion analysis.

While applicant also includes the word SMILEY in small print, we do not find that this additional word is a significant difference. As discussed earlier, the term "smiley" describes a design such as applicant's and

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opposer's. Therefore, it is unlikely that consumer would use this word to distinguish the marks. Indeed, applicant's survey indicates that 57% of survey participants refer to Wal-Mart's design as "Smiley Face." Rapoport dep., Ex. 13, p.7 (An additional 1% identified the design as simply "Smiley"). See also Wal-Mart 91150278 Reply Brief at 3 (public version). We cannot agree with Loufrani that many consumers would rely on the word SMILEY to distinguish the marks. The term "smiley" would also be a term that would apply to Wal-Mart's mark and there would be little, if any, differences between the meanings of the marks and their commercial impressions, a smiley or smiling face, would also be similar if not the same. The small differences between the marks do not eliminate the similarity of the marks. See *Pickering & Co., Inc. v. Bose Corp.*, 181 USPQ 602, 603 (TTAB 1974) ("When both slogans are considered in their entirety, as they must be, there is little doubt but that they are substantially similar in sound and appearance. And, after a consideration of all the evidence herein, we are clearly of the opinion that applicant's slogan 'YOU CAN HEAR THE DIFFERENCE NOW.' so resembles the slogan 'FOR THOSE WHO CAN HEAR THE DIFFERENCE'").

Furthermore, purchasers of Wal-Mart's and Loufrani's goods and services would overlap. As we indicated earlier, many of these goods would likely be found in a retail

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department store and, therefore, their channels of trade would similarly overlap and the same purchasers seeking to purchase clothing, electronics, food, toiletries, and similar items are also likely to overlap with customers of department stores that sell these products.

When these very similar marks are used on retail department store services and applicant's goods in Classes 3, 5, 8, 9, 14, 16, 18, 21, 24, 25, 28, 29, 30, 31, 32, 33, and 34, we hold that there is a likelihood of confusion.¹³ While we have not held that there is a likelihood of confusion for the services in Classes 35, 36, 38, 39, 41, and 42, we note that, inasmuch as we have found that applicant's mark lacks distinctiveness and does not have secondary meaning, Wal-Mart must nonetheless prevail in its opposition against all the classes for Serial Nos. 75302439 and 75977376 in Opposition Nos. 91150278 and 91154632.

We add that this unusual case presents a rather close case involving a symbol that the parties agree is "ubiquitous." In our analysis, we have also considered the last two *du Pont* factors (177 USPQ at 567) that concern "the

¹³ Loufrani also argues that Wal-Mart has turned a "blind eye to rampant third-party use of the Disclaimed Design." Brief at 21. He then points to an example of this usage. We are not persuaded by this argument as it does not involve applicant's department store services and, as Wal-Mart points out, it "has no obligation under trademark law, or otherwise, to enforce its mark against non-infringing uses." 91150278 Reply Brief at 13. In addition, a trademark owner "is not required to act immediately against every possible infringing use." *Wallpaper Mfrs., Ltd. v. Crown Wallcovering Corp.*, 680 F.2d 755, 214 USPQ 327, 336 (CCPA 1982).

Opposition Nos. 91150278 and 91154632
Opposition No. 91152145

extent of potential confusion, i.e. whether de minimis or substantial" and "any other established fact probative of the effect of use." In effect, applicant is seeking to register his marks for a large number of goods that either are sold in opposer's stores or are the types of goods that would be sold in department stores. This fact increases the likelihood of confusion to the extent that applicant's mark, if used by a competitor, could result in a department store that used a confusingly similar mark throughout its store on hundreds of items as its house brand. We have little doubt that under such circumstances, confusion would be likely.

Decision: The oppositions to the registration of the applications in Opposition Nos. 91150278 and 91154632 are sustained. The opposition to the application in Opposition No. 91152145 is dismissed.

JUDGE KENDALL

MAGISTRATE JUDGE BROWN

BR

EXHIBIT B



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[TARR Status](#) [ASSIGN Status](#) [TDR](#) [TTAB Status](#) (Use the "Back" button of the Internet Browser to return to TESS)**Goods and Services**

IC 014. US 002 027 028 050. G & S: Precious metals and alloys thereof other than for dental use; jewelry, precious stones, timepieces and chronometric instruments; silverware, namely, bowls and serving platters of precious metal; works of art of precious metal, namely, sculptures and figurines; cigar and jewelry boxes, watch and jewelry cases and jewelry chests of precious metal; bracelets in the nature of jewelry, brooches in the nature of jewelry, sun dials, ashtrays of precious metal for smokers, chains in the nature of jewelry, hat ornaments of precious metal, chronographs in the nature of watches, chronometers, fancy key rings of precious metal, necklaces in the nature of jewelry, tie pins, household and kitchen containers, namely, boxes of precious metal for sweets; household utensils of precious metal, namely, candle snuffers and candle holders; pins in the nature of jewelry, clocks, badges of precious metal, cuff links, medals, purses of precious metal, watches, watchbands, silverware with the exception of cutlery, table forks and spoons, namely, sugar bowls of precious metal and saucers of precious metal; ornaments in the nature of jewelry, wall clocks in the nature of timepieces, napkin holders of precious metal, alarm clocks; coffee and tea services in the nature of tableware of precious metal

IC 018. US 001 002 003 022 041. G & S: Trunks and suitcases, umbrellas, parasols and walking sticks, whips and saddlery, animal collars and leashes, hat boxes of leather board for travel, purses, walking-stick seats, satchels, business card cases and card cases in the nature of wallets; hat boxes of leather for travel, key cases in the nature of leatherware, vanity cases sold empty, document holders in the nature of briefcase-type portfolios, school bags, net bags for shopping, clothing for animals, attache cases, change purses not of precious metal, sunshades in the nature of umbrellas, wallets, sling bags for carrying infants worn on the body, backpacks, handbags, beach bags, traveling bags, bags of leather in the nature of envelopes and pouches for packaging, garment bags for travel, briefcases in the nature of leatherware, traveling cases of leather

IC 025. US 022 039. G & S: Clothing, namely, pants, shirts and dresses; footwear except orthopedic footwear, bathing suits, bath robes, bibs not of paper, berets, hosiery, boots, suspenders, boxer shorts, caps, belts in the nature of clothing, hats, sports shoes, masquerade costumes, cloth diapers, ear muffs, neckties, sashes for wear, scarves, gloves, layettes, slippers,

soles, underwear, aprons; sportswear, namely, jogging suits and sweatbands

Mark Drawing Code (2) DESIGN ONLY

Design Search Code 02.11.04 - Human lips or mouths
10.05.25 - Bathroom articles, soap dishes; Cotton balls; Cotton swabs; Dental floss; Emery boards; Eye patches; Feminine hygiene products; Files (nail); Floss, dental; Nail clippers; Nail files; Polisher/buffers, nail; Shoe horns; Tooth picks; Vibrators, massage
26.17.09 - Bands, curved; Bars, curved; Curved line(s), band(s) or bar(s); Lines, curved

Trademark Search Facility Classification Code ART-10.05 Toilet articles; grooming devices; mirrors
HUM Accurate representation of a human form, or any portion of a human form
SHAPES-BAR-BANDS Designs with bar, bands or lines

Serial Number 79026986

Filing Date April 14, 2006

Current Filing Basis 66A

Original Filing Basis 66A

Published for Opposition July 10, 2007

Registration Number 3298278

International Registration Number 0893580

Registration Date September 25, 2007

Owner (REGISTRANT) FRANKLIN LOUFRANI INDIVIDUAL FRANCE 114 Eaton Square London SW1W 9AA UNITED KINGDOM

(LAST LISTED OWNER) The SMILEY COMPANY SPRL Société privée à responsabilité limitée (SPRL) BELGIUM Rue des Trois Arbres 16 B-1180 Bruxelles BELGIUM

Description of Mark Color is not claimed as a feature of the mark. The mark consists of half of a smile.

Type of Mark TRADEMARK

Register PRINCIPAL

Live/Dead Indicator LIVE

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Typed Drawing

Word Mark	SMILEY
Goods and Services	IC 025. US 022 039. G & S: Clothing, namely, pullovers, trousers and shirts. FIRST USE: 19700000. FIRST USE IN COMMERCE: 19700000
Mark Drawing Code	(1) TYPED DRAWING
Serial Number	78975125
Filing Date	May 10, 2000
Current Filing Basis	1A
Original Filing Basis	1B
Published for Opposition	August 21, 2001
Registration Number	2801529
Registration Date	December 30, 2003
Owner	(REGISTRANT) Loufrani, Franklin Alphonse INDIVIDUAL FRANCE 114 Eaton Square London UNITED KINGDOM SW1W 9AA (LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180
Assignment Recorded	ASSIGNMENT RECORDED
Attorney of Record	JANET DORE
Type of Mark	TRADEMARK
Register	PRINCIPAL
Live/Dead Indicator	LIVE

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SMILEY

Word Mark

SMILEY

Goods and Services

IC 018. US 001 002 003 022 041. G & S: traveling bags, school satchels, suitcases, and traveling leather sets consisting of traveling bags. FIRST USE: 20081204. FIRST USE IN COMMERCE: 20081204

IC 024. US 042 050. G & S: bath linen, bed linen, household linen, table linen, unfitted fabric furniture covers, curtains of textile or plastic, and table mats, not of paper. FIRST USE: 20081204. FIRST USE IN COMMERCE: 20081204

Standard Characters Claimed

Mark Drawing Code

(4) STANDARD CHARACTER MARK

Trademark Search Facility Classification Code

SHAPES-MISC Miscellaneous shaped designs

Serial Number

78433858

Filing Date

June 11, 2004

Current Filing Basis

1A

Original Filing Basis

1B

Published for Opposition

September 13, 2005

Registration Number

3577839

Registration Date February 17, 2009
Owner (REGISTRANT) SMILEY COMPANY SPRL, THE LIMITED LIABILITY COMPANY BELGIUM 16
RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180
Assignment Recorded ASSIGNMENT RECORDED
Attorney of Record Mary Catherine Merz
Prior Registrations 2566529;2747618;2801529;AND OTHERS
Type of Mark TRADEMARK
Register PRINCIPAL
Live/Dead Indicator LIVE

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SMILEY WORLD

Word Mark

SMILEY WORLD

Goods and Services

IC 009. US 021 023 026 036 038. G & S: Downloadable computer software program for use in attaching icons or other symbols, in e-mail correspondence, and instant messaging. FIRST USE: 20010700. FIRST USE IN COMMERCE: 20010700

Standard Characters Claimed

Mark Drawing Code

(4) STANDARD CHARACTER MARK

Serial Number

78372321

Filing Date

February 23, 2004

Current Filing Basis

1A

Original Filing Basis

1A

Published for Opposition

November 29, 2005

Registration Number

3102995

Registration Date

June 13, 2006

Owner

(REGISTRANT) Loufrani, Franklin INDIVIDUAL FRANCE 114 Eaton Square London UNITED KINGDOM SW1W 9AA

(LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180

Assignment

ASSIGNMENT RECORDED

Recorded

**Attorney of
Record**

Mary Catherine Merz

Disclaimer

NO CLAIM IS MADE TO THE EXCLUSIVE RIGHT TO USE "SMILEY" APART FROM THE MARK AS SHOWN

Type of Mark

TRADEMARK

Register

PRINCIPAL

**Live/Dead
Indicator**

LIVE

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SMILEY

Word Mark

SMILEY

Goods and Services

IC 009. US 021 023 026 036 038. G & S: Downloadable computer software program for use in attaching, icons or other symbols, in e-mail correspondence and instant messaging. FIRST USE: 20001200. FIRST USE IN COMMERCE: 20001200

Standard Characters Claimed

Mark Drawing Code

(4) STANDARD CHARACTER MARK

Serial Number

78372264

Filing Date

February 23, 2004

Current Filing Basis

1A

Original Filing Basis

1A

Supplemental Register Date

September 19, 2005

Registration Number

3016430

Registration Date

November 15, 2005

Owner

(REGISTRANT) Loufrani, Franklin INDIVIDUAL FRANCE 114 Eaton Square London UNITED KINGDOM SW1W 9AA

(LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180

Assignment

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Recorded**Attorney of Record** Mary Catherine Merz**Type of Mark** TRADEMARK**Register** SUPPLEMENTAL**Live/Dead
Indicator** LIVE[TESS HOME](#)[NEW USER](#)[STRUCTURED](#)[FREE FORM](#)[BROWSE DICT](#)[SEARCH OG](#)[TOP](#)[HELP](#)[HOME](#) | [SITE INDEX](#) | [SEARCH](#) | [eBUSINESS](#) | [HELP](#) | [PRIVACY POLICY](#)



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Typed Drawing

Word Mark	SMILEY
Goods and Services	IC 003. US 001 004 006 050 051 052. G & S: Soaps, bath gels, makeup, perfumes, body lotions, nail care preparations, cosmetic preparations for skin renewal, hair shampoos, hair gel. FIRST USE: 20010226. FIRST USE IN COMMERCE: 20010226
Mark Drawing Code	(1) TYPED DRAWING
Serial Number	78321611
Filing Date	October 31, 2003
Current Filing Basis	1A
Original Filing Basis	1A
Published for Opposition	April 26, 2005
Registration Number	2970055
Registration Date	July 19, 2005
Owner	(REGISTRANT) Loufrani, Franklin Alphonse INDIVIDUAL FRANCE 114 Eaton Square London UNITED KINGDOM SW1W 9AA (LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180
Assignment Recorded	ASSIGNMENT RECORDED
Attorney of Record	Mary Catherine Merz
Type of Mark	TRADEMARK
Register	PRINCIPAL
Live/Dead Indicator	LIVE

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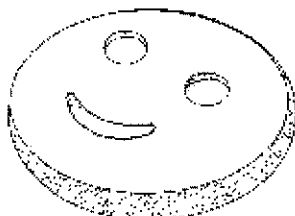
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Goods and Services IC 029. US 046. G & S: processed potatoes. FIRST USE: 20010100. FIRST USE IN COMMERCE: 20010100

Mark Drawing Code (2) DESIGN ONLY

Design Search Code 02.01.33 - Grotesque men formed by letters, numbers, punctuation or geometric shapes; Stick figures
02.11.16 - Faces, smiley; Smiley faces

Serial Number 75618546

Filing Date January 11, 1999

Current Filing Basis 1A

Original Filing Basis 1B

Supplemental Register Date August 14, 2002

Registration Number 2701516

Registration Date March 25, 2003

Owner (REGISTRANT) Loufrani, Franklin INDIVIDUAL FRANCE 114 Eaton Square London, SW1 UNITED KINGDOM

(LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180

Assignment Recorded ASSIGNMENT RECORDED

Attorney of Record Janet Dore, Esq.

Description of Mark The drawing shows a configuration of the goods, namely processed potatoes shaped like a three-dimensional smiley face. The stippling is for shading purposes only.

Type of Mark TRADEMARK

Register SUPPLEMENTAL
Live/Dead Indicator LIVE

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Typed Drawing

Word Mark	SMILEY
Goods and Services	(CANCELLED) IC 009. US 021 023 026 036 038. G & S: [Protective sporting helmets]. FIRST USE: 19880516. FIRST USE IN COMMERCE: 19880516
	IC 028. US 022 023 038 050. G & S: Toys, namely plush stuffed toys and plastic balls, latex balls and squeezable balls [; sporting goods, namely knee pads]. FIRST USE: 19880516. FIRST USE IN COMMERCE: 19880516
Mark Drawing Code	(1) TYPED DRAWING
Serial Number	75919141
Filing Date	February 15, 2000
Current Filing Basis	1A
Original Filing Basis	1A
Published for Opposition	February 12, 2002
Change In Registration	CHANGE IN REGISTRATION HAS OCCURRED
Registration Number	2566529
Registration Date	May 7, 2002
Owner	(REGISTRANT) LOUFRANI, FRANKLIN INDIVIDUAL FRANCE 114 Eaton Square London ENGLAND SW1, W9AA
	(LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM 16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180
Assignment Recorded	ASSIGNMENT RECORDED
Attorney of Record	Mary Catherine Merz
Prior	

Registrations 0957363;1148450;1154955
Type of Mark TRADEMARK
Register PRINCIPAL
Affidavit Text SECT 15. PARTIAL SECT 8 (6-YR).
Live/Dead Indicator LIVE

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Typed Drawing

Word Mark SMILEY**Goods and Services** IC 003. US 001 004 006 050 051 052. G & S: non-medicated cosmetic preparations for slimming purposes, namely, skin creams, skin lotions, skin pomades, rust removing preparations, sun-tanning preparations for cosmetic purposes, fabric softeners for laundry use, shaving soap, cotton sticks for cosmetic purposes, skin whitening creams, laundry bleach, scented wood, floor polish, hair color, hair dyes, hair waxing lotions, artificial eyelashes, shoe care products, namely, shoe wax, shoe polish, and shoe cream, depilatory wax, parquet floor wax, polishing wax for use on furniture and automobiles, leather preservatives, namely, polishing creams and waxes, cosmetic kits comprised of eyelash pencils, eyelid pencils, namely, shampoos, drain openers, general purpose scouring powders, decolorants for cosmetic purposes, namely, hair decolorants, degreasing preparations not used in the manufacturing process for use on floors, make-up removing preparations, depilatory creams, stains removers, paint removers, rust and mineral removing cleaning preparations, laundry detergents, toilet water, anti-static dryers sheets, emery paper, emery cloth, emery boards, polish for furniture and flooring, incense, windscreen cleaning preparations, essentials oils for personal use, hair lacquer, hair bleaching preparations, sachets for perfuming linen, hair lotions, false nails, cotton balls for cosmetic purposes, abrasive paper for use on the nails, wallpaper cleaning preparations, paint stripper, pumice stones for personal use, adhesives for cosmetic use, namely, adhesives for use in connection with artificial hair, shaving preparations, varnish-removing preparations. FIRST USE: 20010226. FIRST USE IN COMMERCE: 20010226**Mark Drawing Code** (1) TYPED DRAWING**Serial Number** 75810328**Filing Date** October 20, 1999**Current Filing Basis** 1A**Original Filing Basis** 1B**Published for Opposition** July 11, 2000**Registration Number** 2747618

Registration Date August 5, 2003

Owner (REGISTRANT) Loufrani, Franklin INDIVIDUAL FRANCE 114 Eaton Square London UNITED KINGDOM SW1 W9AA

(LAST LISTED OWNER) THE SMILEY COMPANY SPRL LIMITED LIABILITY COMPANY BELGIUM
16 RUE DES TROIS ARBRES BRUSSELS BELGIUM 1180

Assignment Recorded ASSIGNMENT RECORDED

Attorney of Record Peter E. Nussbaum, Esq.

Type of Mark TRADEMARK

Register PRINCIPAL

Live/Dead Indicator LIVE

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